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ABSTRACT

The intention of this monograph is to provide information on the subject of merit pay plans and teacher evaluation to assist local school boards in developing their own salary scales. Topics discussed by six authors include the growth of merit pay contracts, the state of the art in evaluation, job evaluation techniques, performance evaluation and merit pay, relating evaluation to compensation, differentiated staffing and compensation, and making merit pay work. (Author/DN)

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Evaluation and Merit Pay Clinics

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FOREWORD

State-mandated teacher salary schedules were repealed by the Legislature in 1971, thus providing school boards and their chief school administrators with an opportunity to develop their own salary arrangements with the imagination that the times demand. The New York State School Boards Association proudly accepted the challenge and has offered local school boards assistance in developing their own salary scales.

The first series of clinics was conducted in 1972. This monograph contains the information presented at the Association's second series of Evaluation and Merit Pay Clinics held in January 1973.

We believe that this publication provides a valuable source of information on the subject of merit pay plans and teacher evaluation. Further, it will provide a ready reference to administrative ideas for employee compensation.

Donald G. Brossman
Executive Director

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MERIT PAY—WHERE WE STAND

Dr. Eric Rhodes

For years annual surveys of the number of school systems having some form of merit pay showed a remarkable stability in the total number and percentage of school districts employing such plans.

Each year, for nearly a decade, approximately six percent of school districts reported some form of merit pay. The number fluctuated only slightly from year to year. Further analysis, however, showed a more complicated picture than that.

Because, in fact, each year a substantial number of school systems abandoned their so-called merit pay plans, and a substantial additional number initiated plans. The drop-outs, rather remarkably, balanced the newcomers.

The reason for this high turnover of school systems moving into and out of merit plans, in our judgment, was the lack of sophistication of the plans and the approaches to merit pay. We finally are beginning to become more sophisticated in our approaches as school districts to the problem of merit pay, which is much more complex than the average school district was willing to concede or was able to implement.

This growing sophistication, long overdue, indicates the possibility of more success with variable pay plans in the future.

What Merit Pay Has Meant in Federal and State Civil Service

Real government civil service systems outside of the public school districts have long ago developed a much more complex concept of merit. When the federal government is said to operate on a "merit" pay system in its civil service, there are a number of elements involved. Whether we believe that the civil service works perfectly or not, many employees will tell you that the multiple elements involved at least make possible a greater belief by the employees in the potential fairness of the system. An analysis by H. Eliot Kaplan yielded the following essential factors in the merit system of a governmental body.

1. A central personnel agency with an adequate technical staff which has impartial, forceful leadership, the understanding and backing of the chief executive, and sufficient funds to do a thorough and complete personnel job.

2. A plan for classifying all positions according to duties, functions, and responsibilities, to serve as the framework for selection, compensation and an understanding of the overall administrative organization.

3. A salary plan which is fair to all, adequate to recruit and retain competent people, and which provides incentives for superior performance; with machinery for adjusting salaries in relation to the economic situation and the need for maintaining efficient services.

4. An agressive program to attract capable people to the service, and a sound program of competitive examinations for selecting those best fitted to serve the public.

5. A probationary system as a part of the examining program and closely related to the supervisory process.

6. A recognition that training of all types is a fundamental part of the personnel management responsibility, including job instruction, inservice training, supervisory and administrative training, and executive development.

7. Uniform regulations governing working conditions, such as leaves of absence, vacations, hours of work, and compensation in case of injury.

8. A recognized plan of career development, with careful plans for placement, promotion and transfer based on training, ability, performance, and the needs of the service.

9. A well defined system of discipline and separation from the service which recognizes both the necessity of maintaining high standards of competence and conduct and the right of employees to protection from bias and injustice.

10. Provision for departmental personnel programs conducted by a departmental personnel officer under the general responsibility of the department head, coinciding and coordinated with the general program of the central personnel agency.

11. Certification of payrolls by the personnel agency.

12. An adequate retirement system.

13. Prohibition against political assessments and contributions as well as undue political activity.

14. Provision for a taxpayer's action through which civic groups can bring violations of the law to public attention for correction.

A number of these elements may be present in some school districts, while others clearly are not typically present. But the concept that there must be multiple elements involved in an effective merit system is one that is just now coming to be recognized by a growing number of school systems. To make a school system plan work for teachers requires some adjustments in our thinking about the traditional methods of dealing with teacher compensation.

What Merit Pay Has Traditionally Meant in Teaching

Our problem has been that the school board members who wished to implement, who wished to see a merit pay plan implemented, made a very simplistic approach to the problem.

As an example, in a school district in Oregon, a school board member recently moved in a public meeting that a merit pay plan for teachers be established. The motion carried, and a further motion was made that $20,000

be included in the budget to implement this system of recognizing "teacher excellence". This amount, averaging $45 per teacher, was thus appropriated out of thin air, as it were, with no real consideration for whether it was an appropriate or adequate sum, or for how it would be used.

School boards have done this time after time, trusting that their administrators could somehow come up with the mechanism to make it work, and since the administrators usually could not, the plans were doomed to failure by being created out of inadequate planning and study.

What Was Wrong With Merit Plans

In the history of merit pay, as analyzed by Educational Service Bureau consultants, there were a number of basic flaws which appeared in the development and operation of merit plans which did not succeed. These basic flaws were as follows.

1. The plan was not sufficiently discriminating between teachers.

2. There were artificial cutoffs on the number who could receive merit recognition, thus sometimes arbitrarily denying recognition to deserving teachers.

3. Poor evaluators caused the failure of many plans.

4. Mistaken concepts by board members and administrators often caused severe problems. As an example, one administrator in a school district investigated by ESB personnel had told some teachers, that while they were not doing as well as they should, if they promised to do better he would grant them merit pay.

5. Lack of clearly understood goals.

6. Lack of a clear definition of the job. Good job descriptions are an important part of a good merit plan.

7. Lack of priorities in the job. Teachers, unless they are given help, often become bogged down in less important aspects of their work. A good merit plan should help to direct teachers toward the primary goals.

8. Lack of an effective evaluation instrument. Many teacher evaluation instruments are too simple in their structure and invite a subjective approach which naturally breeds concern among teachers.

9. Inability to measure results. Most merit systems look at the way a teacher acts, rather than the results the teacher produces.

10. Inability to translate evaluation into improved instruction.

11. Inadequate financial incentive. A merit stipend which represents only a small increment beyond that which one would normally receive for minimum performance is not geared to stimulate or give real recognition to teachers.

12. Too limited a concept of merit. If only a few teachers are to gain recognition or any type of salary advancement from a merit plan, obviously the plan will not be popular with the majority of teachers. There must, therefore, be more elements to bracket in more teachers if the plan is to do the job it is intended to do — encourage teachers to improve themselves and improve the instructional program.

Elements Now Entering Merit Plans in Teaching

The interesting new development, and the major hope for future success, in new merit plans is the fact that there are now a variety of elements being built into a number of the plans which are being implemented. Among these varied elements are the following.

1. Promotional grades. One of the problems with teaching has been that there are inadequate promotional opportunities — often none at all — within the teaching ranks. Only a few people get promoted, and they leave teaching to become administrators. Some of the newer plans provide for a variety of promotional grades within teaching ranks, so that a person may be promoted from, for example, assistant teacher to associate teacher, based upon performance with attendant higher salary schedule.

2. Performance within each grade. Once grades are established, as in No. 1 above, each grade can have promotional steps within the grade (rather than steps solely tied to longevity), and advancement on these steps can be based on level of performance.

3. Eligibility for additional assignments. Another element can tie the opportunity to become a class sponsor or an activities advisor or a coach to level of performance in the classroom. These additional assignments thus become promotional or based upon recognition of performance, rather than haphazardly assigned duties.

4. Performance in assignments. A separate measure of performance should be conducted in relation to the additional assignment. The additional assignment is a separate kind of duty from the basic teaching assignment, and evaluation of this performance should be done, with possible advancement within the salary paid for the additional assignment, or at least determination of whether or not the person desires to continue in the additional assignment.

5. "Contracting" option. There has been much talk in recent years about the concept of performance contracting. This has traditionally meant hiring outside profit-making organizations to conduct some aspects of teaching, with their compensation based upon the performance of the students. There is no reason why such a contracting option could not be built into a salary plan for teachers. Teachers wishing to contract above their basic salaries to produce certain specified results beyond that normally expected would be able to do so and receive additional compensation if, in fact, the student performance or the teacher performance involved succeeded in meeting the level which the teacher contracted to achieve.

6. School year option. Another variation which can be produced is the possibility of having some teachers selected to teach for a longer period of time — for eleven months or twelve months — for additional compensation. Eligibility for such an additional assignment could be based upon evaluation of performance in the regular teaching assignment.

7. Study options. While many teachers could qualify by the above average performance for one or more of the options listed above, those teachers who were not yet performing at the adequate level would not qualify for any of them. To encourage some of these teachers to seek to make gains, and to give them some opportunities along the way, study options could be introduced to grant a certain number of teachers a stipend for summer study every three years or something of that sort, with the study to be undertaken along the lines designed to improve the teachers' performance in the classroom and the actual program agreed upon in advance.

8. Superior service bonus. After all of these other options, many of the plans still build in a "superior service" bonus which recognizes the really outstanding teacher beyond the other options described here. This is the element which was the sole element of most of the older merit plans, and has as its flaw the fact that only a limited number of teachers could aspire to it and nothing was left to inspire others to improve.

What Teachers Want

In the course of making studies and developing recommended merit plans for school districts, ESB consultants have found a number of areas of concern which have been expressed by teachers with regard to merit pay.

Teachers, given an opportunity to express their concerns, have typically identified six major areas of concern. If these concerns can be met, the chance of having an acceptable plan which teachers can feel affords them reasonable opportunities would be greatly enhanced. These six major elements desired by teachers are as follows.

1. Evaluation on frequent occasions by more than one qualified person. Teachers feel that a fair evaluation must be based upon a number of contacts with the teaching situation, and must be based upon the opinions of more than one person.

2. Teacher participation in merit placement. Teachers frequently feel that they should have some input into determining who or how many should be advanced in salary, promoted to a higher rank, etc. If this is to be done, there must be some method of assuring that teacher participation (by committee membership, for example) is equally as free from potential bias as the teachers want the administrators to be.

3. More than one method of advancement. We have seen in the preceding section that new merit plans have multiple types of advancement opportunities. This meets a basic concern of many teachers.

4. Attractive levels of pay. Teachers feel that any teacher qualified to continue on the job should have a reasonably attractive salary. If those who do more or those who qualify for advancement earn higher salaries, these should be sufficiently higher than the base level to make the advancement seem worthwhile.

5. Review or appeals procedures. Teachers are concerned that errors or bias may enter into determining who advances, and they want to have, in any plan, a method by which decisions can be reviewed or appealed.

6. Opportunity to build from year to year. Earning a merit increment of, say $500, on the basis of superior performance, and then continuing to receive this $500 for a period of years seems to many teachers to be an inadequate kind of merit approach. It is their feeling that if a person is to be given really appropriate recognition for superiority, there should be a way to continue to grow in salary and to widen the amount of compensation beyond the initial $500.

Some Plans Which Attack These Problems

Following are some brief discussions of elements of existing merit pay plans which contain some factors discussed before as desirable multiple elements of pay plans and as factors of concern for teachers.

Frequency of evaluation. In the Rich Township, Illinois, merit plan the process provides that each teacher shall be visited by his division chairman at least six times during the school year (twice during each of the first three quarters). Written evaluations of performance based upon each two visits are followed by conferences with the teacher.

Each teacher is visited by his principal four times during the school year, once in each quarter. In addition, the teacher conducts a self-evaluation. As a result of these activities, the superintendent, the director of general services, the principal, and the division chairman meet to determine a final category assignment for each teacher. Categories are from one to five, with a job description of the teacher's performance level for each category being the basis for determining assignments by category.

Teacher participation. In Milford, New Hampshire, the merit plan includes a standing committee of 12 teachers which reports to the school board each year on proposed changes in the merit plan and the salary scale related thereto.

The committee consists of six representatives of elementary schools and six representatives of secondary schools, and membership is for a three year term, with rotating membership provided for. The chairman is elected by the committee.

Actual observations in Milford, however, are conducted by administrative personnel. In the secondary schools a new teacher with no teaching experience is observed a total of 20 times during the first year (by the superintendent, principal, vice-principal, curriculum coordinator, and department head). The teacher is observed ten times during the second and third years. Teachers with longer experience are observed nine times each year by the same personnel described above. This may seem like a large number of visits, but when divided

among five people it means that the teacher is seen an average of twice each by the personnel involved. This should help to insure objectivity in the ratings assigned, since individual biases would tend to be cancelled out.

Building income from year to year. In the Shorewood, Wisconsin merit plan the merit increment for superior performance is $150 annually above the salary schedule. At first glance, this would seem to be a very nominal amount, but as long as the teacher continues meritorious performance, the annual increment is cumulative from year to year, and there is no limit to the number of persons who may receive any increment in any one year, nor in the number that may be awarded to any individual over a period of years. A teacher may receive an additional merit increment each year, or only in certain years, but they are cumulative. Presently the range of the merit increment, following this procedure, above the annual salary schedule is from $150 to $1,600.

School year option. In Warren, Ohio, the teacher who qualified to be appointed an "executive teacher" based upon quality of performance, receives a contract for a full year of work extending from July 1 through June 30. During the regular school year, the normal teaching schedule is adhered to, with some additional duties assigned. During other days when school is not in session, an 8:00 a.m. to 5:00 p.m. work day is expected. The executive teacher receives holiday and vacation privileges in accordance with the policy for all full time employees. The executive teacher performs such duties as writing curriculum guides, serving on textbook selection committees, preparing resource materials, identifying or devising teaching strategies and techniques, conducting workshops, planning innovative classroom projects, etc. Of course, the teacher is paid on a 12 month basis in addition to the merit differential for the basic teaching year.

Promotional levels within teaching ranks. In the Belvidere, Illinois, merit plan, teachers are assigned to levels following the evaluation process. For example, a level four teacher in this plan scores a cumulative total below 1,250 points; a level three teacher scores between 1,250 and 1,600 points; a level two teacher scores between 1,600 and 1,850 points; and a level one teacher ranges between 1,850 and 2,050 points. Once a teacher has been initially assigned to one of these levels, with teachers participating in the determination, certain compensation factors attach to the various grades. Obviously, a teacher may advance to a higher grade by improving his total evaluation score (based upon a composite of ratings) in a future year.

A multiple plan. In Madison County, New York, ESB consultants have worked with local administrators in combining a variety of elements into a single plan for consideration by the districts in the county. This plan operates as follows.

All teachers are on a basic 14-step schedule. One may not advance automatically beyond step three of the schedule. From that point, a person may be advanced or held, based upon performance. In addition, a teacher may not advance beyond step five without permanent certification, may not advance beyond step eight without nine additional hours of approved study (planned with the administration in advance), and may not advance beyond step 11 without an additional nine hours of approved study. Teachers with a Master's Degree would receive a supplemental annual amount in addition to the base schedule.

Beyond the basic schedule there would be second, third, and fourth columns, each a higher salary than the base schedule, and each with 14 steps. Advancement to these columns would be promotional, based upon above-average evaluation and assignment to additional responsibilities. All of the responsibility assignments within the school district (including activities, sponsorships, chairmanships, committee responsibilities, coaching assignments, etc.), would be assigned to one of these columns according to its degree of responsibility. But advancement to these positions would be based upon qualifications established, and these qualifications would include above-average performance in the classroom. Continuation on these responsibility levels would also be dependent upon performance in the responsibility.

In addition, a student achievement bonus is an option for any teacher between steps three and 14. This is a performance contracting type of option, with a teacher being given the opportunity to contract for the achievement of performance above expected levels with additional compensation related thereto.

Hard work required. All of these plans which have been described did not materialize overnight. They were the result of hard work by many people.

Perhaps none of them is perfect. Perhaps some of them will not succeed over the long run. But because of the effort which went into their development, and because of the obvious attempt to meet some of the criteria established by teacher concerns and by the need to make merit plans more varied and providing a greater range of incentives to a larger number of teachers, they stand a better chance of success than many of the simplistic and inadequate plans of past years.

Time will tell if these plans really contribute to the basic goal, which must be improvement of instruction. If they do, the effort and the hard work will have been well worthwhile.

EVALUATION—STATE OF THE ART

Dr. Thomas Calhoun

Thumbnail history of teacher evaluation—

1. "Scientific management" and "objective rating"

2. "Human relations movement"

3. "Democratic supervision" emphasis

4. Too rapid expansion as result of population explosion has created additional complications

5. Recent developments that have rocked the boat which has typically had rather smooth sailing based on the premise that American education has always been accountable to the people, at least in theory, since most boards of education are elected and either the people or their elected representatives approve taxes and budgets:

   a. Improved economic and working conditions of teachers is causing taxpayers to want reassurance that increased expenditures for salaries and working conditions are indeed producing a better quality education for their children. (Accountability in era of financial pinch.)

   b. Weak individuals coupled with an improved supply of applicants are re-raising questions and objections to the tenure system.

   c. Concerns over employment of minority groups and the visibility connected with federally funded programs have led to increased interest in the caliber of employees and their services.

Evaluation is not just an ex post facto process—evaluation begins at a point where you receive a letter or telephone call inquiring about employment. A good portion of our resources should be allocated to a rigorous pre-employment screening prior to the offer of a position. Evaluation done at this point is more critical—or at least as critical—as the evaluation of a person once on the job.

Naturally, we accept that evaluation must be part of the probationary decision making process, but I'd like to stress that some earlier discretionary action is at least equally important. There are at least two factors which have changed this situation:

1. Improved supply allows greater selectivity in hiring and in retention.

2. Trend toward "instant tenure" (courts and teacher militancy)

While I'm on a less traditional aspect of evaluation, I'd like to mention several other aspects of personnel management which are inexorably intertwined in process of building a quality staff:

1. Identification of needs, job description, requisitioning of personnel — this will be touched on later

2. Recruitment — still a necessity

3. Selection — already mentioned

4. Placement and Assignment — important in achieving 3 R's (recruit, reward, retain)

5. Induction and Orientation — continues to set stage for relationships and quality of service to follow.

6. Working conditions — reasonable, obtainable, mutually understood

7. In-Service

   a. attain nigh standards of performance
   b. achieve organizational goals
   c. maximize employee's career objectives

8. Evaluation — today's topic, is one facet of a much larger and interrelated system.

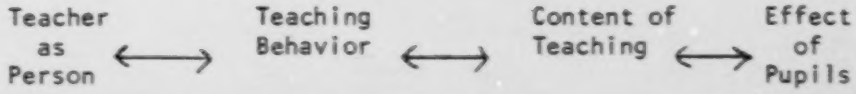
Evaluation — more like appraisal than rating —

1. Rating — grading a person's current work (taking a temperature reading)

2. Evaluation — a continuous process whereby we assess the level at which a person is functioning professionally, with a view toward both how he reached this point and where he ought to be going.

The complexity of teaching contributes to the difficulty of evaluating it. The interrelationship of knowledge, skills, attitudes, and understandings in an infinite variety of settings makes an appraisal of the quality of teaching a formidable task.

Evaluation looks at:



Interrelatedness of these, and necessity to consider them all, compounds the problem. Adding to difficulty of satisfactory appraisal is the necessity for a great deal of subjective judgment in a process which, admittedly, we want to be as objective as possible. Yet this dilemma should not deter us from evaluation — it simply spurs us to make this subjective responsibility as objective as possible.

General Points:

1. Teaching is the only major profession which expects a complete range of skills immediately upon assuming first position. Therefore, it's important that we have means to assist with continuing development; and evaluation can be one these means.

2. Be sure to ask "why", not just "how".

3. People tend to do not what is expected of them but what is inspected. Performance which is carefully planned and consistently evaluated is more likely to be effective than that left to its own devices. Get out from behind the desk!

4. Staff needs to be helped to see evaluator <u>not as referee but as coach</u>.

5. Evaluation a tool more than an end in itself.

Personal bias — When people know and understand their job expectations, it will more often lead to mutual satisfaction. This has been my experience and probably that of most of you. This concept will be inherent in most of what follows.

Why Evaluate —

A. Flip Answers

1. Eliminate the unsatisfactory and upgrade the satisfactory.

2. Change is inevitable so we ought to influence that change for the better.

B. Academic Answers

1. Assess overall school program

2. Provide basis for improved instruction

3. Motivate teachers

4. Help teachers succeed

5. Provide basis for administrative decisions

   a. Reappoint probationary teacher
   b. Recommend for tenure
   c. Reappoint tenure teacher
   d. Decide on transfer, etc.
   e. Select for promotion
   f. Establish evidence for dismissal

6. Provide basis for developing effective personnel policies

7. Implement merit pay program

8. Maintain records and make reports

Let me state the obvious: all of us can recognize the master teacher, all of us can recognize the incompetent performer. It is the wide diversity of types and talents that fall in between which cause us problems in knowing how to evaluate and how best to use evaluation as a tool to upgrade performance. However, an orderly system will help make this necessary—or inevitable—process evolutionary rather than revolutionary.

How Evaluate?

1. Rating system
2. Position guides
3. Operational objectives

I'm not going to unequivocally recommend one or the other of these. Much will depend upon—

1. state of art in your district
2. climate which exists with teaching staff
3. conditions set forth in negotiated contract
4. philosophy and leadership style of board and superintendent

It may be advantageous, and certainly possible, to combine elements of two or all three of these types of evaluation.

I. Rating Systems

Rating is usually a nasty word.

Just as teachers say "I don't like giving tests any more than you like taking them", so do administrators say, "I don't like giving ratings any more than you like being rated". Yet, this is the traditional, most common mode of evaluation.

Types of rating procedures:

1. Check list
2. Descriptive or "critical incidents"
3. Narrative or anecdotal records.

Rating systems can be developed unilaterally or cooperatively.

Advantages —

1. Fairly objective
2. Easily applied

Disadvantages —

1. Applies same pattern to everyone. Equal treatment of unequals is undemocratic.

2. Stresses past performance rather than future performance. Are we "refereeing" or "coaching"?

II. Position Guides (Job Descriptions)

Not much used in education—considered the adjunct of business and industry, perhaps due to:

1. Difficulty of preparation (or prepare well)—especially with no one available or no one available who has skills to do this.

2. Often thought to be basis for rating performance and an influence on salaries—an anathema to many educators.

YET—job content and responsibility are inexorably related to compensation (or should be) since everyone knows that age, experience, or additional education do not necessarily lead to better performance.

Advantages of evaluation system based on position guides—

1. Facilitates recruitment, selection, assignment, orientation

2. Enables person to better understand his responsibility

3. Helps assure recognition of established responsibilities (a subtle difference from number two)

4. Clarifies relationship between jobs and channels of communication

5. Promote sense of security for incumbent

6. Furnish base point for appraisal of performance

Disadvantages or problems connected with use of position guides—

1. Time consuming

2. Difficult to make them detailed enough to be descriptive but brief enough to be understandable

3. Must be kept flexible and not used too rigidly

4. Minimums tend to become maximums

5. Some incumbents may want to resist meeting standards set by position guides while others may argue they are exceeding the requirements so classification or salary should be raised to reflect their qualifications or performance.

6. Should inform bargaining agent—enlist their understanding and support—yet try to avoid their participation in development of job content.

Generally speaking it would be advantageous to build your evaluation system on specifics contained in position guides.

III. Operational Objectives

I choose to call these operational objectives rather than performance objectives to soften resistance and minimize threat.

Stresses coaching more than refereeing and provides a means of communication between evaluator and evaluatee which, properly used, is not likely to be offensive to teachers and provides a vehicle for positive supervision. An Operational Objectives System of evaluation is much like Management by Objectives.

Key aspects

1. Highly individualized (personalized)—may be under an umbrella of district or building objectives but those are difficult to empathize with and have a limited chance of being effectively implemented.

2. Very time consuming

   a. Determination of objectives
   b. Joint analysis of performance and success
   c. Setting of new (or same) goals

Recommendations:

1. Make long term commitment to plan (three years or more).

2. Reduce span of control (12-15 people maximum) and minimize paperwork.

3. Be sure to differentiate between instructional objectives (new student behavior) and operational objectives (new teacher behavior).

4. Recognize tendency to set too high goals—a desire to please and easy to overestimate capabilities.

5. Follow through faithfully—to underscore belief in system—and set next series of objectives at each evaluation session.

Basic Factors in a Sound Evaluation Program

1. Positive attributes—superior performance should be acknowledged

2. Teachers should be informed as to duties and responsibilities of position.

3. Teachers should be informed as to appraisal system.

4. Evaluation system should include goals and objectives toward which teachers can work.

5. Teachers should be informed of degree to which they are achieving these goals and given time and assistance to remedy deficiencies impeding attainment of goals. Coaching more than refereeing.

6. Acceptable human relations must be practiced throughout

   a. The system or procedure cannot do the job alone. Like a school district, the best curriculum, finances, and facilities won't make a top notch educational program without a strong staff.

   b. Similarly, the most sophisticated evaluation system will not achieve the desired results unless excellent interpersonal relationships are developed and maintained. This factor, or the lack of it, will make evaluation either a negative or a positive experience for all concerned.

Every school board member, every school administrator, and probably every parent is concerned with the quality of teaching in public education and particularly about that in their own school system. The most important single element in the success or the caliber of a school district is its personnel; and one key to effective performance is a program of evaluation or appraisal which leads to the stimulation of growth and the increasing of competence. The current interest in assessment and accountability is leading us toward a more systematic way of handling this crucial responsibility—responsibility to taxpayers, responsibility to students, and responsibility to employees themselves. This is a formidable objective yet one within the grasp of most boards of education and school administrators.

JOB EVALUATION TECHNIQUES

Donald W. Keefer

Why?

The key purpose is to determine the relationship between positions for the proper development of salaries to be paid. How many times have all of us participated in meetings where the question of fixing the salary range for a new position, or a revised salary scale for an existing position is discussed only to find the discussion going in circles. A superintendent might recommend a certain range because he feels that this is necessary to attract a competent individual to the system. A board member says: "That's too much — we just hired an engineer at the plant with a Doctor's degree for $2,000 less per year than that". Another board member or administrator might express his feelings that because of "what the principals earn, the range might not be high enough to retain a good man in the job". And so such debates go on ad infinitum. Usually, the range that is finally established is one that represents a compromise among all of the various opinions expressed. It may be proper, but the odds are 50-50 that it is incorrect.

There are basically two major factors which must be considered in establishing the proper salaries in any organization. These are internal and external influences; both equally important. Let's examine internal influences. These are such areas as the importance we attach to the position, the specific duties and responsibilities of the position, the background and education required to properly qualify for the position, the personal characteristics necessary, etc. In the area of external influences, we must consider; prevailing wage rates—primarily in the local area, supply and demand for individuals capable of filling such a position, prevailing career progression for such a position, etc.

It is readily apparent that an intelligent and logical salary program cannot be developed within the confines of a discussion of opinions, at least not on any scientific or supportable basis. There are several approaches which can be utilized in establishing any salary program. I would say this, the simpler the approach, the less meaningful the results will be. The first approach that may be utilized can be termed "The Teacher's Maximum Plus". Under this approach, we utilize the current teacher's maximum and add an amount so as to establish a differential between the teacher's maximum for the level of academic attainment and that of the assistant principal. Then, we set a further amount up as a differential between his salary level and the principal, and then between his salary and the next administrative level. On the surface this approach appears to differentiate the salaries of administrators by their level of responsibility, but it constantly hinges upon what the classroom teacher earns. There are some real disadvantages to this situation; one obvious one is that in effect, the teachers in an indirect manner end up negotiating not only their salaries, but also those of the administrative staff. Another bad factor here is that the "tail wags the dog"—we lose perspective of the relationship as it should exist, and find ourselves negotiating salaries not on a basis of justification and rationale, but rather on a basis of our immediate fiscal limitations.

The second approach is what we might call "The Upper 50 Percent Method" or "Keep Competitive". In this approach, the superintendent or his director of

personnel makes an annual survey of surrounding districts and the district then adopts salary levels which range above or around the mean averages of those other districts. They may even justify their offers at the bargaining table with the teachers on this logic, and it is usually effective in controlling teacher demands at least to the point of keeping their salaries in line with other districts. The major drawback here is that every school district has its own peculiarities in terms of cost of operations, revenues, position differences, and priorities of programs and significance attached to varied aspects of operations. This comparative type of approach to salaries cannot help but overlook many or all of such considerations.

Finally, another approach other than a thorough evaluation program is what we might call the "Necessity" approach. In this approach salaries of administrators and nonnegotiating supportive personnel are determined on a basis of necessity, that is, to increase the salary of positions on a selective basis as the need arises, and on a basis of what funds we might find available at a given point in time. With the teachers who engage in collective bargaining we grant what is necessary to obtain agreement. This approach has the inherent disadvantage of destroying any relationship between salaries over a period of time and also creating salary pressures which need not exist.

As can be seen, there are built-in disadvantages with all such approaches which generally outweigh any advantages they may offer in the way of simplicity. Therefore, we would like to recommend a more scientific approach to this traditional problem. This is the "Job" or "Position Evaluation Method". Let's look at the first sheet in the packet I have given you.[Reproduced below.]

POSITION EVALUATION

It is important to understand the various facets of a position evaluation plan in order to administer effectively such a program.

- Position evaluation is a system whereby positions are differentiated by the relative values of duties and responsibilities. This can of course apply to teaching, administrative, and even supportive personnel positions.

- The relative importance among positions is determined by measuring the characteristics of the position by means of point values. From these position differentiations come the establishment of proper salary relationships.

- A key principle to remember is that you are evaluating the position and not the position incumbent.

- The position evaluation criteria do not decide the qualifications which an individual should possess to perform the duties.

- The evaluation plan is only a portion of the salary program. The movement of an individual within the salary range must be determined by performance evaluation and other factors which affect individual salary treatment.

- One of the most difficult functions of position evaluations is the different levels of responsibility. How do you decide the difference between the latitude to act independently between an elementary and secondary school principal? Words are sometimes not precise enough to make such distinctions even though an assistant superintendent knows the difference. That is why space has been taken for definitions.

- Consistency is also obtained by the use of "Bench Mark" positions. These are selected positions which are generally well understood and the evaluations of which are well accepted. These "Bench Marks" are necessary guides in determining the values of existing as well as new positions.

JOB DESCRIPTION

This is a written summary of the essential features and requirements of a position. It necessarily does not stand alone as an exhaustive delineation of all of the details or specifics of the duties to be performed but can be useful in instructing a new employee, useful in recruiting in knowing the various facets of the position, etc.

PERFORMANCE EVALUATION

This is an organized and systematic method of appraising the performance of an individual for a specified period of time.

* * * * *

Now that we have some definitions and criteria, how do we proceed on such a program? First, if you have complete job or position descriptions review them and update as may be necessary. If you do not have definitive comprehensive job descriptions — develop them. In all cases, you will get the most cooperation and greatest acceptance of the results if you explain the program to those who hold the positions to be evaluated and seek their input. Start this program with the job descriptions; have those employees involved review their job descriptions and instruct them to make whatever changes they feel appropriate to describe their duties and responsibilities.

Next, develop a data sheet for each position being evaluated. List title, qualifications, job description, present salary range, and a blank for "position point value". Next, determine what areas you wish to establish as being important criteria — list these. Then develop a percentage factor for each of these depending upon their relative importance.

If you use a 1,000 possible point total, as we have in the example on Chart A, we would apply the percentage figure against the 1,000 points. In this fashion if we feel that education and background or experience is 27 percent of the makeup of our positions, the point total for that area would be 270 points. Now since all positions vary in that requirement, as well as all other criteria, we must break down each area by degree required in a given position. This now permits us to measure the relative importance of "Education and Experience" required between diverse positions such as teacher aide, department chairman

or master teacher and the secondary principal, or in another area, the custodian.

It again is helpful in any such program to provide the evaluation criteria and ask those employees to rate their own positions in each of these areas.

Let's look at the example a little further — in your own situation you may wish to develop further criteria or modify some shown here. This is for illustrative purposes but this was actually utilized in a Pennsylvania district to develop a wage program for administrative and supportive personnel.

Let's look at the chart to show how the program develops and gives a numerical relationship between positions.

We now have a numerical relationship — what does that mean in terms of salary? It is now necessary that we examine certain external influences and arrive at a bench mark position salary range. Usually this will be found at the top or the bottom of our positions. We might find that the prevailing assistant principal salary is relatively close in all surrounding districts — if so, we would establish a median point and develop our range around that. If we want seven steps in the range, we might drop back three from the median point for the starting step and move forward three for the top step, at whatever increment amount we wish to establish. Or, we may merely set a range without any definite step progression. Establishing the bench mark is important since the salaries for all other positions will be determined from this.

In our sample, let's assume that the professional personnel assistant is our bench mark, and that the majority of prevailing wages for this position are $11,000 to $13,000. The median is $12,000. The percent value here is 100 percent — all other positions evaluated are then less than 100 percent or greater than 100 percent based upon their point value relationship as a percentage to the point value of the professional personnel assistant. See Chart B.

The salaries we arrived at on this basis are medians and around this we would build the range. The movement of the employee through the range would then be conditioned by his or her performance which of course is another topic.

This can be applied to teachers in differentiated staffing. In this situation we might use a simpler position evaluation instrument, but the concepts would be basically the same. We may even use a simpler instrument for our supportive personnel, such as clerks, secretaries, custodians, and maintenance men. The main thing to remember is we must determine what relevant factors must be considered, and to establish a logical system of values. From that point, the process is virtually identical to the administrative example.

POSITION EVALUATION — Chart A

POSITION FACTORS	% OF TOTAL EVALUATION
BACKGROUND	27% (270 points)
A. Education (up to 135 points)	
1. High School Diploma, Certificate, License, Associate Degree	25
2. Bachelor's Degree	50
3. Master's Degree-Significant	65
4. Master's Degree-Critical	75
5. Master's Degree + Post Master's Study	100
6. Doctorate-Significant	120
7. Doctorate-Critical	135
B. Experience (up to 135 points)	
1. Position Familiarity	50
2. Related Experience	75
3. Specialized Experience	90
4. General Experience	100
5. Multi-Function Experience	115
6. Multi-Function Depth Experience	125
7. Chief Administrative Experience	135
APPLICATION OF PROFESSIONAL KNOWLEDGE	14% (140 points)
A. Complexity (up to 80 points)	
1. Selective	10
2. Interpretive	20
3. Innovative	30
4. Developmentive	45
5. Evaluative	60
6. Determinative	80
B. Latitude (up to 60 points)	
1. No Latitude	0
2. Limited Latitude	10
3. Moderate Latitude	20
4. Considerable Latitude	35
5. Extensive Latitude	45
6. Complete Flexibility	60
ORGANIZATION IMPACT	9% (90 points)
A. Degree of Impact (up to 90 points)	
1. Limited	10
2. Contributory	20
3. Significant	35
4. Major	50
5. Prime	70
6. Final Authority	90
SUPERVISORY RESPONSIBILITY	27% (270 points)
A. Size of Organization (up to 150 points)	
1. Number of employees directly supervised	75
2. Number of employees who receive technical and/or functional direction	75
B. Diversity and Complexity of Organization (up to 120 points)	
1. Limited Responsibility	20
2. Moderate Responsibility	40
3. Significant Responsibility	60
4. Extensive Responsibility	80
5. Key Responsibility	100
6. Complete Responsibility	120
CONTACTS	4% (40 points)
A. Significance of Contacts (up to 20 points)	
1. Minor	5
2. Typical	10
3. Major	20
B. Types of Contacts (up to 20 points)	
1. Informative	0
2. Investigative	5
3. Advisory	10
4. Coordinative, Persuasive, Influencing	15
5. Commitment	18
6. Authoratitive	20

Chart A continues

INTEGRITY OF INFORMATION 3%
(30 points)

1. District Knowledge 5
2. Limited Exposure 10
3. Regular Exposure 15
4. Confidential 20
5. Highly Confidential. 25
6. Strategic 30

IMPACT OF ERRORS 4%
(40 points)

1. Negligible 10
2. Imperceptible. 15
3. Minor. 20
4. Significant. 25
5. Major. 30
6. Key. 35
7. Critical 40

EVALUATION CRITERIA — 12 MONTH EMPLOYEES

Position	Background	Application of Professional Knowledge	Organization Impact	Supervisory Responsibility: Number of Employees Supervised	Supervisory Responsibility: Organization Complexity	Contacts	Integrity of Information	Impact of Errors	Time Requirements	Total Points	
Principal, P.H.S.	115	80	40	85	60	25	15	25	70	515	155%
Adm. Asst., Pupil Services	135	60	40	65	60	25	20	25	70	500	150%
Principal, Wm. Penn Elem.	115	60	40	75	60	25	15	25	60	475	140%
Director, Data Processing	75	60	40	50	40	16	10	25	120	436	130%
Personnel Asst., Professional	75	30	25	50	20	25	25	20	80	350	100%
Dean, Languages	95	20	25	25	20	16	10	20	50	281	70%
% — Total Evaluation	27%	14%	9%	27%		4%	3%	4%	12%	100%	

PERFORMANCE EVALUATION & MERIT PAY

Richard G. Neal

The following suggestions are designed to assist school management personnel in carrying out a complete and effective system of teacher evaluation.

Basic Suggestions

1. The purpose of teacher evaluation must first be established. The overall purpose of teacher evaluation is to improve the instructional program of the school; however, this supereminent purpose can be divided into supporting purposes, which are:

   a. To assign teachers to new positions
   b. To transfer teachers
   c. To identify teachers for promotion
   d. To place teachers on continuing contract
   e. To dismiss teachers
   f. To place teachers on probation
   g. To improve the individual teacher's performance
   h. To determine the amount of compensation

2. Caution should be used in the dismissal of teachers. Generally speaking in most states teachers (whether on continuing contract or not) may be dismissed or placed on probation for incompetency, immorality, noncompliance with school laws and regulations, disability (as shown by competent medical evidence), or for other good and just cause. Teachers (whether on continuing contract or not) may also be dismissed at any time because of a decrease in enrollment or abolition of particular subjects.

The dismissal of and nonrenewal of contract for a teacher must be approached with great care for a variety of reasons, among which are:

   a. "Incompetency", "noncompliance", "disability", and "immorality" are imprecise terms which must be proven through evidential procedures. Calling a teacher "incompetent" does not make him so.

   b. The "burden of proof" is on the board (and thus on the chief school officer, as the offical agent of the board) to prove its accusation, since the board is the moving party to breach the contract.

   c. Teachers have ready access to all necessary legal counsel to defend their rights.

   d. In many cases, termination of employment is a serious threat to the employee's security base for subsistence; consequently, agressive response can often be expected.

Therefore, should you be considering the possible dismissal of a teacher, the following procedure is suggested.

a. Be sure that there is a continuous record of observation and evaluation.

b. This record must be dated and in writing.

c. Tangible evidence should be contained in the record, when applicable.

d. Follow the statutory procedures set forth in the Education Law regarding dismissal of tenured and nontenured teachers.

e. Under appropriate circumstances, you might present to the teacher written and specific suggestions for correcting deficiencies and achieving a satisfactory level of performance.

f. Under appropriate circumstances a reasonable period of time should be provided for necessary improvement.

g. The teacher might be given a written statement that failure to achieve an acceptable level of achievement by a specified date will result in termination.

h. Except for gross and abrupt cases of immorality, incompetence, noncompliance, and disability, both tenure and nontenure teachers must be notified by a specified time that their contracts will be terminated at the end of the school year. This means that the personnel department must receive the recommendation for dismissal by a specified date.

3. Decide what is to be evaluated—the teacher, or the results. If the results of instruction are chosen as the basis upon which to evaluate a teacher, then you are into performance evaluation. This step should not be entered into without considerable preparation and teacher cooperation.

4. Identify the factors to be evaluated. The great majority of teacher evaluation forms group all factors into the following categories.

a. The teacher as a professional

b. Instructional delivery. This category usually includes factors relating to the instructional techniques used by the teacher.

c. The teacher's expertise. This category is designed to measure the quality of the teacher's knowledge in the area of his assignment.

d. Results of instruction. This category usually includes a listing of factors designed to evaluate the reaction of students. This category could include a measure of student growth.

e. Miscellaneous. This category usually includes factors which relate to the teacher's response to administrative and nonteaching responsibilities.

5. Establish a job description for teachers. Unless this is done, then it is difficult for school management personnel to evaluate meaningfully and fairly the teacher.

Supporting Suggestions

Other suggestions which should help the management team in its evaluation functions include:

1. Evaluators must be fully qualified. Not only should evaluation be entrusted to the fully certified administrator-supervisor, but such persons should have had special training in employee evaluation.

2. Special training should be provided to those who are assigned evaluation responsibilities. This should normally be accomplished as an in-house responsibility.

3. The evaluation criteria and standards should be the same for similar jobs. For example, a special education teacher of the mentally retarded must be evaluated on criteria different from that of a guidance counselor.

4. All teachers should be evaluated regularly, even veteran teachers.

5. Probationary teachers should be evaluated more frequently than tenure teachers.

6. The evaluation system should be known to all teachers; otherwise, teachers will not know what factors are considered important in acceptable instruction.

7. The evaluation system should be explained to teachers. Such an explanation helps teachers improve the quality of their performance.

8. There should be various input to the evaluation system. All members of the public education community have something to offer by way of advice—teachers, students, administrators, board members, and parents.

9. The evaluation system should be conservative of administrative time. In other words, the school board should seek to achieve an effective level of evaluation with a minimum investment of resources.

10. The evaluation system should be re-evaluated on a periodic basis.

11. Establish clear authority lines for evaluation. The basis of such authority should be found in school board policy. The actual assignment of evaluation responsibility should be clearly delegated.

12. The evaluation system should lend itself to efficient record-keeping. This is particularly true in the larger school districts.

13. Evaluation observations must be representative of the teacher's work. A formal evaluation cannot be made by a single observation of only one phase of the teacher's job.

14. Some job responsibilities should be given more weight than others for evaluation purposes.

15. Evaluation evidence and information should come from many sources — observations, parent communications, student remarks, comments of counselors, etc.

16. The evaluation system should provide for the opportunity for self-evaluation.

17. The formal evaluation should be discussed with the individual teacher, allowing opportunity for questions.

18. Each teacher should have the right to respond to his evaluation.

19. Innovative techniques of evaluation should be considered, including, but not limited to, the use of sound tape recorders, television tape recorders, classroom intervisitation by teachers, role-playing, etc.

Teacher Evaluation and Negotiations

Most negotiations between teacher organizations and school boards include a proposal to negotiate the policy governing teacher evaluation. Such demands should be eliminated by the board. However, this is not always possible.

The basic facet of teacher evaluation is a clear management prerogative. For example, the purpose of teacher evaluation is to improve the educational program for children. The purpose of teacher evaluation is not a fringe benefit for teachers, a working condition for teachers, or a term or condition of employment for teachers. We have evaluation systems in our schools to guarantee quality education for students. And, since students are not in the bargaining unit, the purpose of evaluation is clearly nonnegotiable.

The criteria used in evaluating teachers (mastery of subject matter, class control, student involvement, etc.) are decisions which should be made by management in terms of what constitutes the best instructional methodology for student benefit. The advice of teachers is valuable and should be sought. But providing one's professional opinion on a matter is a far cry from negotiating policy which may not be changed without the consent of the organization representing the teacher. Such power constitutes a veto power over the board's clear obligation to set standards of employee achievement which are in the best interests of the children.

The rating of teachers is clearly a job for supervisors. It should be apparent to all boards that the teacher organization would provide little unbiased help in this area. To permit the union to participate in the actual rating process would almost guarantee that no teacher would ever receive a critical evaluation.

What's Negotiable?

Is any part of teacher evaluation negotiable? The answer is "Yes". No topic is completely nonnegotiable. Anything can be negotiated, provided it doesn't violate a law. However, the scope of bargaining is ideally limited to

that which is consistent with the purpose of collective bargaining—improving the compensation—work relationship of employees. In other words, the scope of bargaining should be limited to salaries, compensable fringe benefits, and other similar terms and conditions of employment which are the exclusive concern of the teachers. Anything more than that will undermine the authority of the boards.

With this scope concept in mind, what aspect of teacher evaluation is negotiable? The negotiability of teacher evaluation should be limited to the following.

1. Publication of the total teacher evaluation system and policy is negotiable. A teacher is entitled to know how he is going to be evaluated. This is a rightful and exclusive concern for him. To annually publicize its evaluation system does not bargain away any policy power which might interfere with the board's freedom to act in the best interests of the students. If anything, such a practice should be an asset in striving for better teacher performance.

2. A school board could negotiate an agreement to permit teachers to see any evaluation made on them, except for confidential materials, such as letters of reference. This is reasonable and in no way interferes with the board's responsibilities to make policy on behalf of students. This procedure also should result in a more disciplined evaluation system, since supervisors must face the knowledge that their evaluations will be scrutinized by those evaluated.

3. A school board could agree that a teacher may discuss his evaluation with the appropriate supervisor. This procedure is sound, since it provides the supervisor with a needed opportunity to help the teacher improve.

Should a school board be unable to get the teacher organization to drop its evaluation demands (except for the three items above) the board should take the issue to a mediator or advisory arbitrator. The board may have to argue its case strongly, but it should persevere.

RELATING EVALUATION TO COMPENSATION

Dr. Jerry Lee Hart

"Evaluative Economics" is a term referring to something that we have been working on for about a year and are just in the initial stages of publicizing. We are now saying, "It is time to use the mandated statutory strength of the master agreement to put the power of commitment on everybody's shoulders and to see that we succeed in changing our compensatory approaches in public education".

We didn't write the laws that seek collective bargaining. We didn't create it, we didn't push it for teachers, but we're required to implement it.

Having experience with most of the laws that exist in the 50 states, I say that there is not a single law which operates to the detriment of management. You must understand how to use the law and how to make your program effective under it.

Something else we must recognize is that all economics are really not an end in themselves, but a means to an end. We must understand the framework on which we pay the dollar. Our salary schedules, for example, have traditionally been based on experience and training, primarily.

Next, we must negotiate a particular compensatory plan across the bargaining table—not in any framework. We will do so through upgrading our economic standards and paying for productivity. Keep your plans at home. Take only your procedures and your methodology to the table. I don't care if we are talking about merit pay, differentiated staffing, management by objective, performance contracting—all of this can be thrown out and we can go after the methodology and procedures by which we accomplish something and guarantee the ultimate execution of our objective, regardless of semantics.

1. Get a total team effort

2. Retain management control

3. Guarantee that the end result will have some teeth or merit in it. Be reasonably sure that it will be implemented.

At the bargaining tables—that's where we start the procedure. You draft a board proposal and take it to the collective bargaining arena. In essence it is the machinery or the procedure whereby we are going to change our compensation from standard structures, index salary schedules, and move it to performance objectives, based upon student accomplishment. In my judgment, it is time that we turned to that for which we are supposedly in the business, and that's to provide quality education for students. Therefore, I want to judge the students. In the given year that we go after this objective, the board must make very few other demands. This is the big one.

Next, we need to hammer home that we're after a tough issue; we are here to say we are going to reorient the compensation factors of this school district. We are here to show that when it's all over, this demand will reflect a more objective analysis of what we're trying to do, what we're getting for it and how much we're going to pay for what we're getting.

It is in essence accountability as defined by productivity and measured by the amount of money we're going to pay for what we get. Teachers will now share the responsibility. The greatest latitude I give under my procedures is that teachers will be involved in evaluating their own work and the results of the evaluation will determine what they are compensated.

In this demand you must create an overall task force. I believe that it should be composed of membership from three groups. A third should be a management component, because our administrators, superintendents, and supervising principals are responsible for all the evaluative and supervisory functions of the teacher-learning process. The second third should be the employees; they are the participatory element and most capable, given training, to both draft and evaluate instructional objectives. A final third of the membership would be board of education members or representatives. Under law they are responsible or accountable for overall operations.

The task force as enunciated in your language should have the responsibility for overall guidance of this project. They're the ones tagged with the responsibility to see that all of the elements, the timetables, the setting up of committees, etc., inside this demand actually take place.

We also must create (don't let the task force do it for you; let's do it in the demand) subcommittees in specific subject matter areas to draft specific instructional and performance objectives by students. I would suggest in the pilot stages of this overall Master Plan of Evaluative Economics we should acknowledge that under this plan it would take us about four years to complete the transference from traditional salary schedules to compensation based on objective accomplishment.

We start out, however, by negotiating in isolated subject matter areas because you cannot undertake this mammoth thing that quickly. You cannot involve all of your staff when you do not have the funds to undergo a piloting of it. And you will not have the amount of money available to pay for it as you're doing it unless you take it from present salary funding designations. You only have a certain amount of money. So, reality says you can't accomplish this transition too quickly. Utopia can be reached but only by progressive means. However, remember that first we must have a board of education willing to give more than lip service to the fact that they don't like index structured salary schedules and are ready to start a multi-year approach to changing.

Teachers are the fundamental building blocks of all our institutions, and when they fail, we fail. We must recognize that the strength and support of our education program is quality. We must also recognize that there is a need for recognition of all specialists in this area. We have not done so. We have not brought in parents when we should. We have not involved students to the degree we should in listening to them and letting them share with us their insights in writing their own goals, objectives—indeed what they really want from public education.

We must require the providing of data. Obviously, we need it to evaluate these instructural objectives. We need also a checks and balances system, which can be created very easily by saying that any supervisor, who has reason to suspect that a given teacher is not evaluating in proper accord with an honest

evaluation, can invoke, under a code of ethics policy adopted by the board, a challenge of performance which would, by utilization of a Review-Panel, probably force the teacher to restructure the measuring instrument, gather new data, and reassess the success of the program. That's the way to handle it. A code of ethics on evaluation adopted by a board of education would give a proper, legally constituted framework for an individual supervisor, many of whom are still reluctant to challenge teachers, to do his job effectively. A supervisor could say under this policy, "I suspect the teacher is not evaluating properly". The earlier cited review committee can attempt to ascertain the validity of the evaluation. And, if it is upheld, then simply the case is dropped. We don't need to go back and change the objective. We need to change the method by which we are evaluating, so that we can get a more honest and the more definitive evaluation. We set ultimately a number of performance objectives on the part of students. We must be able to ascertain to what degree any individual teacher accomplished those ultimate goals. The total of those objectives specifically is the place and point on the continuum by which we will compensate that teacher against some Utopian salary schedule. And yet, if we set 100 percent accomplishment at a $20,000 figure, and a teacher accomplishes 72 percent that given year, he would be paid 72 percent of $20,000. He will not be paid a set sum which will be equal to what Clara next door got, or Sam down the hall, despite the fact that Sam did twice the job and Clara did half the job. Each teacher will be paid for what he has done and all will not be paid for what they have not done.

There are many ways that this can mechanically work that we need not detail. We can pay teachers a prorated amount thereof over the whole year—e.g. 50 percent—and then we make the adjustments later after we evaluate objective accomplishment, and see if teachers are entitled to any more than 50 percent, and we pay it spread over the summer. The mechanics of it is really no problem.

It is important that we recognize another key element, and that is a deadline date for the work. The instructional objectives will be submitted by the subcommittees in the division or the department of English, social studies, or in whatever subjects you want to concentrate during the first year in piloting. The subcommittees would create instructional objectives. The Task Force would administer the amount of money which you negotiated in a lump sum into this Article. The Task Force has the job of incorporating not only the instructional objectives, when they get them from the subcommittees, but how those instructional objectives relate to this lump sum of money and how it is going to be expended for those, who under those instructional objectives might be entitled to it.

There are two important elements, critically important elements, of this demand. One, the board will make the final decision. It has that right under statutory law, and don't ever think it doesn't. And, in that enactment, it will adapt any element or phase thereof which is consistent with the overall board objectives in the best interest of the school district. Those are often very sour words on the ears of those who oppose that kind of statutory power being put into effect. Second, if by the deadline of a planned program a requirement is not presented to the board in a recommended and timely fashion, the board will move unilaterally as detailed in the Master Agreement language to create and to implement set programs within a short time.

How do you get a union to agree to this? Very simply. I laid part of the framework to go with only one big item and few demands. Now, I'll lay the others, right down to the bare bone. You relate it in the final analysis to one item. We are all interested in one thing; we need one thing to survive, and that's the dollar. We tie it to new dollars and we indicate that unless there is basic acceptance of this program, we will not give one more dollar salary increase to anybody under the pay schedules. It is time that we relate very directly the dollar increases in expenditures to some form of productivity.

It's time that we come down to reality. We have played more games in public education to give away more benefits in the last six years than private industry has given away in sixty. We tie this concept to the essential almost necessitating the acceptance of it, but only tie a small percentage amount. Perhaps a 5-25 percent range is appropriate in the first year. Then we'll agree to release the remaining funds and increase salary schedules, under the old compensatory plan. Teachers must accept the idea, apply part of the money to it, and guarantee that in compliance with a certain date, specific goals will be established, or boards will do it themselves. Remember, once there is agreement in a master contract, the enforcement concepts are in effect. One later cannot say, "We don't agree with it".

Don't tell me this process and the evaluation of a plan thereunder is not possible. If you don't understand it, get help. If you don't know how to do it, get out of the business, and permit others to execute. But the commitment MUST come from the board.

I think it will take four years to implement an Evaluative Economics plan, but it will take a lot harder commitment to get started on it, on the part of everyone, I think it's time to begin.

DIFFERENTIATED STAFFING & COMPENSATION

Dr. Lee Demeter

Meeting with a group of school board members brings to mind the panoramic view one has upon entering the picturesque Navy-Marine Corps Memorial Stadium in Annapolis. Emblazoned along the upper tier of that arena are the historic names of famous battles of those two services: Iwo Jima, Guadalcanal, Tarawa, Wake Island, Guam, the Solomons, the Philippines, and so forth. One Saturday afternoon a few years ago when the bone crushing fullback of a visiting Ivy League football team, noted more for his brawn than his brain, stepped onto the playing field he paused, looked at the long list of far-off places, and exclaimed, "Wow, Navy sure plays a tough schedule!"

Tough schedule indeed! But hardly more demanding than the life and the burdens of a school board member today: continuing inflation, soaring school taxes, taxpayer rebellions, busing, integration, militant teachers with the legal right to sit with the school board at the bargaining table to negotiate their salaries and other terms and conditions of employment, militant parents, militant pupils, court decisions and Commissioner of Education rulings that relentlessly erode the power and authority of board members and school superintendents! I have often wondered why anyone—other than an out and out masochist—would ever in his right mind want to be a board member, except that school board operations constitute an indispensable part of local government and that, despite the frustrations and exasperations of your work, you can always renew your determination to carry on by reminding yourself, when you are down in the dumps, of one of Winston Churchill's immortal quotes: "Democracy is the worst form of government, except for all the others".

Discussing differentiated staffing at a conference whose title is "Evaluation and Merit Pay" is tantamount to giving it the kiss of death when one considers the hostility of teachers and teacher organizations to merit pay. Gary D. Watts of the National Education Association's Division of Field Services said about differentiated staffing, "It's camouflaged merit pay of the highest order and I'm against it for all the reasons that I'm against merit pay." Equally enthusiastic comments have been made by teacher leaders across the land.

Well, is differentiated staffing (DS) a form of merit pay? The answer should be, I believe, "No", at least in the traditional sense of the word as teachers, administrators, and school board members have understood it over the years. And later in my presentation I will attempt to show the basic differences between DS compensation and merit pay. But I can understand how teachers generally and even many among you here today are convinced—the tyranny of words being what it is, the power of myths being what it is—that DS is in fact a form of merit pay, despite my protestations to the contrary.

Well, what are we talking about? What is DS? Why DS? What can it do for us that other staffing arrangements are incapable of achieving? Is it a fad, a passing phenomenon, or an idea whose time has come? It is of course a relatively new concept. It has as many definitions as there are people who dare to define it. To date, DS is in the active functional vocabulary of relatively few school people. But those who deliberate about it and talk about it like to think that they are on the "growing edge" of education.

Of course, there has always been DS of sorts in most school districts—regular classroom teachers, subject matter specialists, special teachers for music, art, speech, physical education, etc., department heads, guidance counselors, psychologists, maybe social workers, teacher aides, etc.—but that is not what I am talking about today. The concept of DS calls for a rearrangement of the faculty into instructional teams, whose members play different roles on a hierarchical basis. I am talking about a staffing arrangement that will give school board members, to borrow an expression from the Eisenhower years, a bigger bang for the buck; an arrangement that will curtail the teacher brain drain from the Nation's classrooms; an arrangement that will enable school districts to realize a maximum return from their available resources; an arrangement that will help give pupils a more useful and effective education; an arrangement that will pay more dollars to teachers who have assumed greater responsibility for improving the effectiveness of instruction. At least these are some of the claims that are being made for DS by its champions!

Roy A. Edelfelt, Executive Director of the National Commission on Teacher Education and Professional Standards, defines DS as follows. "Differentiated staffing is an outgrowth and refinement of team teaching and 'the teacher and his staff' idea, both of which propose the use of auxiliary personnel in the schools to relieve teachers of their nonteaching tasks and to recognize a diversity of teaching tasks. Differentiated staffing goes a step further to suggest that teaching be differentiated into various roles and responsibilities to allow for the different interests, abilities and ambitions of teachers. It calls for differentiating salary in terms of the responsibilities assumed, and allows for both a training and a career ladder."

Staff differentiation is a label to describe a school's organization of human resources. It involves a restructuring of the school organization to permit teachers to make better use of their talents and, most importantly, to improve the learning situation for students. It is both a reorganization of structure and a redesign of educational program.

To differentiate a teaching staff means to separate it into different segments, to divide it into different roles with varying degrees of responsibility, difficulty, and complexity.

There is no single, all-embracing definition of DS because it comes in all shapes and sizes. No two school systems are alike in their implementation of DS. They even use a different nomenclature for similar things. Some plans are very minor refinements of existing structural organizations; others constitute a significant modification of the old structure pattern; while still others might be called revolutionary. They really shake things up! Just as there is no one best definition, it is generally agreed that there is no single best model or arrangement.

Dwight Allen, Dean of the College of Education at the University of Massachusetts and former Assistant Professor of Education at Stanford, where he helped shape the Temple City, California, DS program, says that the following three basic conditions are essential to a viable differentiated staffing structure.

1. A minimum of three differentiated staff teaching levels, each having a different salary range.

2. A maximum salary at the top teaching category that is at least double the maximum at the lowest.

3. Substantial direct teaching responsibility for all teachers at all salary levels, including those in the top brackets.

What is behind DS? What is wrong with the present organizational structure that we should think of tampering with it? The deployment of teachers today is largely undifferentiated, reminding one of the medical profession at the turn of the century when the family doctor, a general practitioner, was responsible for the full range of medical services, performing these services by himself without consulting specialists, nurses, laboratory technicians or other assistants.

In the last few decades we have given enormous attention to, and recognition of, pupil differences and individualized instruction. But amazingly we have given scant attention to teacher differences. On the contrary, our stance seems to be "We hold this truth to be self-evident—that all teachers are created equal." We believe that a teacher is a teacher is a teacher. We have come to regard one teacher as essentially the equivalent of any other, with the same authority and the same responsibility—and the same salary. All of this we know, from our own daily observations, runs contrary to the facts.

We should be able to make teaching attractive as a life-long career, with financial inducements comparable to those in other professions. But we are not doing as well here as we ought to. There are no promotions in teaching as such. All promotions lead away from the classroom. If a teacher accepts a promotion, he becomes a counselor, coordinator, department head, supervisor, assistant principal, principal, anything but promotion as a teacher. You and I agree that teaching is the most important activity in education. And yet, all the rewards, financial and otherwise, encourage movement away from the classroom. The administrator is the one who has the status, the power, the prestige in education. Administration is the badge of success. One of the inevitable results is startling statistics of teacher dropouts such as these:

1. Of the students graduating from teacher-training institutions, 30 percent do not enter teaching.

2. Of the 70 percent who do enter teaching, one third leave by the end of the first year.

3. By the end of two years 50 percent are gone.

4. By the end of ten years 80 percent are gone.

Any profession would be hard pressed to overcome such statistics!

What are the essential ingredients of a plan for DS? The Temple City, California, plan, perhaps most widely known plan, is based on the following principles.

1. DS should be viewed as a means of producing more relevant student learning;

2. teaching must be a primary function of all teachers;

3. teachers must be relieved of many nonprofessional tasks;

4. teachers must become formal professional partners with administrators in the decision-making process;

5. teachers must engage in self-discipline and regulation of their own professional activities;

6. organizational flexibility must be created through the use of flexible scheduling;

7. new kinds of teacher in-service and pre-service programs must be prepared to enable teachers to function in different roles;

8. some teachers should earn more than school administrators.

There are a number of serious problems in implementing DS, several of them formidable indeed. For example:

1. Planning the program is a long, tedious exhausting process, involving many groups and persons.

2. There is difficulty in identifying differentiated staff responsibilities, roles and categories. After all, we have not given much thought to using staffs in this manner.

3. Establishing new working relationships among faculty members who will no longer enjoy a peer relationship is no simple undertaking.

4. There will inevitably be modifications of the existing school program, always a challenging development.

5. There will have to be new concepts of staff training since teachers simply are not being trained for the roles envisaged in DS.

6. We should expect the opposition of teachers who feel threatened by their changed status, who dislike the idea of being evaluated by their colleagues, who refuse to accept individual differences as a fact of life, who fear DS will lead to salary cuts and to a reduction in teaching jobs.

7. There will doubtless be opposition from school principals who fear being "phased out" or being at least reduced in status vis-à-vis their teachers. Let's face it, DS cannot be accomplished without reorganizing the administrative structure. But the intent of such reorganization is to reward teachers, not at the expense of administration, but in addition to administration.

8. There will be objections from parents who are suspicious of drastic change. Maybe they are not completely satisfied with what they are getting now, but things could always be worse.

9. Finally, there is the problem of present building designs which typically are not suited to flexible scheduling and instruction.

There is of course a massive psychological resistance to innovation and change, on the part of even mature individuals and mature institutions. It almost seems as if Sir Isaac Newton's third law of motion (action and reaction are equal and opposite) applies to human affairs with as much force and power as it does to the world of physics.

A word or two about the role of the school principal, if a school is restructured along differentiated lines. Clearly, his role will be altered. He will in all probability still be legally accountable, but rather than having direct supervisory responsibility for each individual faculty member, he will execute his leadership responsibilities by working with groups of staff members, with instructional teams. He will doubtless have to delegate some of his decision-making responsibilities. But he will still have a key role in setting goals, in coordinating and facilitating, in evaluating, in community relationships, in mediating differences and conflicts. More so than in traditional staffing patterns, he must be an expert in group dynamics, sensitivity, human engineering. And his power will be as influential or as ineffectual as his ability to maintain the quality of professional relations within the social system in his school.

Fenwich English, who has done considerable writing on the subject and who has been active in the Temple City Program and is a recognized authority on DS, commenting on the necessity for involvement, says, "If staff differentiation involves a change in behavior on the part of the teacher, as it surely does, teacher involvement must be secured from the outset. Many administrators assume that changes in teacher roles can be foisted upon teachers via administrative mandate. Human behavior is not that malleable. In such situations, behavior which is easily modifiable is usually quite superficial. The incongruity of the situation is this: authoritarian means cannot create democratic ends. The very fact that an edict was used to create the model stimulates enough suspicion to make plans almost unworkable.

"With the growth in power of teacher associations and unions, any plan which deals with issues of teacher pay, status, and career opportunities cannot ultimately win a place in the establishment without the approval of organized teacher groups. Differentiated staffing offers an exciting alternative to merit pay, but teachers must be part of the needs assessment, design and evaluation stages if any real breakthroughs are to occur.

"Involvement of teachers, their associations and students will be critical ingredients. Involvement and consensus building will be frustrating and time consuming, but without them there is little hope of permanency."

Differentiated staffing is often confused with merit pay, but there are substantive differences. Merit pay means salary differentials based on the quality of performance in situations where every teacher has a similar task and

the same degree of responsibility. Differentiated staffing, on the other hand, would establish salary differentials based on differences in degree of responsibility. When merit pay is introduced, it usually does not result in any changes in instructional responsibilities or in the relationships among faculty members, or in the decision-making structure of the organization. DS, on the other hand, will have a marked impact on these things. The teachers who get more money will have more responsibility.

The key words, the significant differences are as follows. Merit is based on quality of performance, with responsibility remaining generally unchanged. Thus, merit is a performance incentive plan. In differentiated staffing, on the other hand, compensation is based on the level of responsibility. Thus, DS is a structural, an organizational incentive plan. Of course, if staffing is in fact differentiated and there has been prior agreement on the various degrees of responsibilities, the question of merit pay as such should not arise.

Differentiated staffing by its very nature calls for differentiated, flexible salary scheduling. The single salary schedule as such will no longer stand alone. There may very well still be a basic salary schedule on which most teachers would continue to be placed. But alongside of the basic salary schedule there would be other salary arrangements, some calling for considerably more money, some for considerably less. Experience to date, incidentally, reveals that school costs, under a plan of DS, do not change significantly. Some districts have had slight increases, others slight decreases. I should point out, however, that in the August 1972 issue of The Nation's Schools, there appeared an article titled "Save, for a Change. Ideas to Cut Costs", based on a special report compiled for President Nixon's Commission on School Finance by Cresap, McCormick and Paget, management consultants. The consultants suggested that by a gradual shift to differentiated staffing, 12 percent might be saved in instructional salaries, or possibly even more. They cited the Walnut Hills Elementary School in Denver where the restructuring resulted in a 22 percent reduction in instructional costs. Besides cutting salary costs by at least 12 percent, the consultants pointed out that there would be corresponding reductions in payments to employee retirement funds. The article went on to say, "Given the potential areas for savings, it's not surprising that CMP considers differentiated staffing the most promising way to restrict the rate of increase in overall education costs." The firm cautions, however, that implementation of differentiated staffing will require major changes in attitudes and organization.

How should these differentiated salary arrangements come about? Restructuring the school's organization for teaching and learning is a highly complex operation that must be done only after careful study and serious discussion. From this study and discussion, it will doubtless be indicated that new jobs and new job titles should be created.

The development of new jobs and new job titles should not be negotiated. This is a basic management prerogative. Management has the right to establish new positions and to determine the initial compensation for such new positions. Only after the positions have been set up and individuals placed in them should future salaries for these persons be subject to negotiation, provided of course that the positions fall within the recognized units for bargaining purposes. I would like to stress that when I say you should not negotiate the development of new jobs and new titles, I am not saying that you should not discuss them.

Obviously, there should be full discussion. Obviously, too, I am sure you understand that if you wish to negotiate new jobs and titles and their salaries, you have every right to—just as under rulings of the New York State Public Employment Relations Board you do not have to negotiate class size, but you may, if you wish to.

You have probably heard more than once at this conference that you should maintain your flexibility in negotiations concerning methods of compensating teachers. If you think that some day you may wish to move into differentiated staffing, it will help you considerably if you are not already frozen into a rigid and unchangeable compensation plan by your existing contract with teachers. To maintain flexibility, the Educational Service Bureau recommends that any negotiated agreement include a statement that nothing in the negotiated compensation package should be construed to prohibit the board from carrying out experimental programs, from employing interns or other specialized persons at rates to be determined by the board for purposes of experimentally varying the instructional patterns, from seeking new means to make more effective use of existing staff.

I would like to conclude my remarks by quoting from the New York State Commissioner of Education. In March of 1972 Commissioner Ewald B. Nyquist sent a special message to superintendents summarizing the basic concepts in differentiated staffing, outlining two specific patterns of organization and including a very helpful reference list. The Commissioner concluded his message as follows.

"Differentiated staffing should not be considered a panacea for our educational ills. Yet, as an integral aspect of redesigning the schools, it can have a significant impact on the educational environment. Efficient use of staff talents and organizational flexibility can be accomplished by differentiating the roles and functions of staff members. Thus, there is greater opportunity for the realization of a school's educational objectives and the development of more humane and relevant learning experiences of each child."

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MAKING MERIT PAY WORK

Dr. Eric Rhodes

In the course of our studies and presentations relating to merit pay, we have pointed out that older merit pay plans had a number of basic flaws, and that newer plans were introducing additional elements to meet some of the problems found in earlier plans and to provide greater opportunities for teachers. Among the elements entering new plans, you will recall, were these:

1. Promotional grades
2. Performance within each grade
3. Eligibility for additional assignments
4. Performance in assignments
5. Contracting option
6. School year option
7. Study options
8. Superior service bonus

The introduction of this variety of elements tends to give merit plans broader appeal and a greater opportunity for doing the job they are intended to do—improve instruction.

In addition, you have heard of the greater areas of concern by teachers concerning merit pay plans. And we reported to you that teachers wanted the following to occur.

1. Evaluation on frequent occasions by more than one qualified person.
2. Teacher participation in merit placement.
3. More than one method of advancement.
4. Attractive levels of pay.
5. Review or appeals procedures.
6. Opportunity to build from year to year.

If all of these things are built into merit plans which the reader or his school district may develop, the plan would have a greater chance of success, in our opinion, than if some of these elements were not available in such a plan.

But all of these elements combined cannot make a merit plan succeed if the plan is simply developed and the work stops there. What makes a merit plan succeed, or fail, given a reasonable structure for a plan to begin with, is <u>what happens after the plan is adopted</u>.

This is what must occur if a plan is to have a chance to succeed, following its adoption by the board:

A. Fund it adequately. Without sufficient funds to operate, a merit plan quickly dies. Adequate funds must include a reasonable level of base salary, so that all teachers whether meritorious or not, feel that they are being fairly treated, and dissatisfaction can be kept at a minimum.

In addition, however, the merit factors involved must have sufficient funds built into them so that attractive levels of advancement can be provided. In the initial years, at least, there will probably be additional expense involved in moving into a merit pay plan. If the desired goal of improved instruction is achieved, the additional cost will surely be worth the effort to achieve this budgetary adjustment.

Sufficient funds must be available for necessary administrative and supervisory personnel. Without adequate numbers of administrators and supervisors to carry out the necessary number of contacts with the teachers, the plan will not succeed.

B. Train the administrative and supervisory staff adequately. If the members of the district's management team are not carefully prepared for their duties under a merit pay system, they will make the plan fail. Therefore, it is necessary to prepare systematically for their effectiveness. Among the steps to be taken are these:

1. Workshops for administrators and supervisors should be planned, with skilled consultants giving them guidance in the techniques of observation and evaluation to be used in the implementation of the plan.

2. Practice in the use of the evaluation instruments is necessary. This practice is best conducted under the guidance of a skilled consultant. It is vitally important that every administrator and supervisor use the evaluation instrument in a similar way, producing similar results. Otherwise, allegations of bias and improper evaluation will surely result.

3. Analysis of results of evaluations must be made to determine whether the evaluating team is in fact applying the instrument properly, and adjustments in the method of scoring may need to be made.

C. Carry out the plan faithfully. A continuing effort, not just for one year but from year to year, must be made to execute the plan evenhandedly and with continuing determination to see the plan succeed. The following elements are necessary for the effective execution of the plan:

1. The plan must be given top priority by everyone participating in it. The administration and the board, the superintendent and the board, must make clear to every administrator and supervisor that this is a top priority responsibility of each member of the management team.

2. Adequate time must be provided to each administrator and supervisor for his participation in observations and evaluations. Administrators must not be permitted to give the excuse that other duties interfered with their time for evaluation. If they do this, the plan will fail.

3. Continuing analysis of results from year to year is necessary to be sure that evaluation errors and changes in the use of instrument, etc. are not creeping in.

4. Careful application of results is needed to assure teachers that the ratings they earn are being used fairly to give them promotions or salary adjustments for other benefits to be derived from the plan. It is in the application of the results that a faculty committee may best be involved. A faculty committee could receive the results of evaluations (with names removed) and help to determine whether the evaluation places the anonymous teacher involved in grade two, or grade three, etc.

5. Follow-up of the evaluations is a necessary part, an essential part—really the most essential part of the plan—if the real goal is improved instruction. Because those teachers who show less than perfect performance must be given follow-up assistance by the administrators and supervisors involved to help the teacher do a better job based upon the evidence brought forth in the evaluation.

6. There must be administrative and supervisory accountability in the plan. Administrators and supervisors must know that their performance in the evaluation of teachers is an essential part of their own evaluations and ratings for advancement or salary recognition within their own job categories.

D. The board performs its role. Finally, we must devote some attention to the role of the board of education with regard to the merit plan. Merit plans depend upon all of the other factors and all of the other personnel we have been referring to up to now, but a merit plan cannot succeed unless the board performs its role properly. The role of the board involves the following elements.

1. The board accepts and adopts the plan, having given encouragement to its administration to develop a comprehensive plan and to bring it to the board for review and adoption.

2. The board provides the necessary funds for implementing the plan, and must do whatever is necessary to share with the public the concept of the desirability of such a plan, so that acceptance of the necessary plan will be forthcoming.

3. The board periodically reviews the results of the merit plan and the related evaluations, and salary promotions and adjustments, so that it is fully informed of the workings of the process and is satisfied that the plan is working as intended, and the board may make suggestions to the superintendent for future consideration in operating the plan.

4. The board must not interfere with the operation of the plan. If there is anything of urgent importance which we may say to boards of education with regard to merit pay plans, it is this. Once the plan is adopted and implementation begins, the board must not interfere with the operation, which is an administrative function. Boards make policy, they do not implement policy.

   Many plans have been doomed to failure by school boards which have been unwilling or unable to refrain from the temptation of second-guessing their administrators. The first time a board turns down a recommendation for merit pay for an individual teacher or group of teachers, the plan has failed. From that point forward, the teachers and administrators will have lost confidence.

   If a board has doubts or reservations about its administrators' performance, there are ways to move on this problem, but to make the merit plan fail by turning down a recommendation is surely not one of these ways, because the effort and the good intentions involved in the development of the plan surely demand that every effort be made and every step be taken to insure its success. Board rejections of recommendations for merit will insure the failure of the plan.

Thus we have presented the concept that with all of the elements which go to make up a workable plan, and which are necessary for a plan to succeed, merit pay still cannot work unless the plan is effectively executed by the administration and unless the administrative team is carefully trained to execute the plan and unless the plan is given top priority in their areas of involvement.

And finally, the plan cannot succeed unless the board recognizes its proper role and performs it as a policy-making and not an administrative body.

If all of these considerations are taken into account and if the steps we have outlined in the course of these presentations are carried out, then we have a chance to do that which we all fervently seek—to have developed a method and carried to fruition a method which will in fact improve instruction for children, and in the process give financial and professional recognition to those who contribute the most to such improvement.